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## **CHAPTER TWO**

### **ORGANIZATION AND ADMINISTRATION**

#### Organizational Structure/Responsibilities

##### Standard 200 - Structure/Function/Responsibilities

**A written directive describes the agency's organizational structure and the functions and responsibilities of organizational components.**

##### Standard 201 - Organizational Chart

**At least annually, an organizational chart of the agency's structure is reviewed, evaluated, updated, and if amended or revised, disseminated to all personnel.**

Guideline: The organizational chart should illustrate the agency's organizational structure and reflect the chain of command and lines of authority and communication.

##### Standard 202 - Authority and Responsibilities

**A written directive requires that responsibility be accompanied by commensurate authority and provides that each employee is accountable for the use of delegated authority.**

Guideline: The intent of this standard is to provide for a policy guideline to delegate authority necessary for execution of responsibilities.

#### Command and Control

##### Standard 210 - Unity of Command

**A written directive establishes that each organizational component is under the direct command of only one supervisor.**

Guideline: The intent of this standard is to avoid confusion and establish accountability.

##### Standard 211 - Span of Control

**A written directive establishes that each employee is accountable to only one supervisor at any given time.**

Guideline: To ensure employees are aware of what is expected of them and to promote efficiency and establish responsibility, employees should be accountable to only one supervisor under normal circumstances.

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## Written Directives

### Standard 220 - Written Directives

**A written directive establishes a written directive system that includes at a minimum:**

- (a) a policy that vests in the agency's chief executive officer, or other identified position, the authority to issue, modify, and approve agency directives;**
- (b) statements of agency policy;**
- (c) procedures for carrying out agency activities;**
- (d) rules and regulations;**
- (e) a procedure to assure and acknowledge receipt, review and understanding of directives by all affected personnel; and**
- (f) an annual review and update process.**

## Disaster Planning/Mutual Aid

### Standard 230 - Disaster Planning

**The agency has an emergency operations plan and a directive which:**

- (a) delineates the planned response to civil emergencies associated with natural and man-made disasters, major civil disturbances, and civil defense situations;**
- (b) includes procedures to ensure the plan is reviewed and revised at least annually; and**
- (c) addresses training and exercising the plan.**

Guideline: The plan should list resources and include procedures for the law enforcement agency, including coordination with other local, state, federal and private sector agencies and volunteers.

### Standard 231 - Mutual Aid

**The agency has a mutual aid plan and a directive which:**

- (a) includes procedures to ensure the plan is reviewed and revised at least annually; and**
- (b) addresses training and exercising the plan.**

NOTE: The California Disaster and Civil Defense Master Mutual Aid Agreement has been adopted by all counties and incorporated cities in California, coordinated through the State Office of Emergency Services.

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## Training

### Standard 240 - Training Plan

**A written directive establishes procedures for identifying training needs in priority order of importance, and for assessing and updating the agency training plan at least annually.**

Guideline: It is essential that there be a continuous determination of training needs by every level of management, including supervisory personnel, both for individuals and groups of employees. Training needs should be forwarded to the Training Manager for incorporation into an annual training plan. At the very least, an annual review of training plans is required to ensure that the training needs are in concert with the performance expected, the commensurate desired results, and to assure maximum return on the investment of funds. This process should include review of course critiques in assessing training effectiveness.

### Standard 241 - Training Budget

**A written directive shall require submission of a proposed training budget relative to the annual training plan. The budget proposal shall include the projected cost of training.**

### Standard 242 - Training Manager

**A written directive identifies the position responsible for management of the training function.**

Guideline: The nature and size of the training component will vary with available resources. The individual responsible for this function may delegate to other members of the agency the responsibility for conducting training in certain functional areas which require specific expertise. The position responsible for the management of the training function should be referred to as the Training Manager.

### Standard 243 - Training Records

**A written directive establishes a process to record the training completed by all personnel.**

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Guideline: The maintenance of training records serve several important uses including: (1) career development and counseling; (2) determining overall agency training needs; (3) supporting budget justifications; (4) planning for future training requirements; (5) auditing mechanisms for certification, promotion or career incentive programs and assessing program effectiveness; (6) developing of in-house training programs; and (7) documentation for criminal and civil litigation. The training record should include a description of special knowledge, skills and abilities of each employee that is valuable to the agency.

## Standard 244 - Field Training

**A written directive requires the agency to operate a field training program approved by POST. (See POST Regulation 1005[j]).**

## Standard 245 - In-service Training

**A written directive requires the Training Manager to establish a program of in-service training.**

Guideline: In-service training should provide a vehicle to review policies and procedures, and disseminate training bulletins, legal updates and materials concerning contemporary issues affecting law enforcement.

## Standard 246 - Firearms Training

**A written directive requires each sworn officer to demonstrate proficiency with each firearm the officer is authorized to use. Proficiency criteria and frequency of demonstration shall be determined by the chief executive officer of the agency.**

Guideline: Firearms proficiency should include achieving minimum scores on a prescribed course and demonstrating knowledge of the laws and agency policy concerning the safe use of firearms. Agency policy should also address remedial training and/or actions required upon failure to demonstrate proficiency.

## Standard 247 - Control Devices

**A written directive establishes a procedure for each sworn officer to demonstrate proficiency in the use of non-lethal control devices and techniques. Proficiency criteria and frequency of demonstration shall be determined by the chief executive officer of the agency.**

Guideline: The procedure should reflect methods of administering ongoing training (e.g., roll-call training, in-service training, or other) and ways of demonstrating proficiency in the use of agency approved non-lethal control devices and techniques.

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## **Fiscal**

### Standard 250 - Fiscal Responsibility

**A written directive issued by local government or prescribed by law or ordinance designates the chief executive officer of the agency as having the authority and responsibility for its fiscal management.**

### Standard 251 - Fiscal Responsibility Designee

**A written directive designates the position or component having the delegated responsibility for fiscal management functions if these functions are not personally performed by the chief executive officer.**

### Standard 252 - Budget Preparation

**A written directive provides that all organizational components within the agency participate in budget preparation, including the preparation of written recommendations based on analysis of agency activities.**

Guideline: The agency's budget should be developed in cooperation with all major organizational components within the agency. To increase the value of the input and to enhance coordination in the budget process, guidelines should be established to inform the heads of organizational components of the essential policy, tasks and procedures relating to the budget preparation process.

### Standard 253 - Budget Status Report

**A written directive describes the agency's accounting system which includes the preparation of status reports on at least a quarterly basis. Status reports shall include at a minimum:**

- (a) initial appropriation for each account or program;**
- (b) account balances at the commencement of each reporting period;**
- (c) expenditures and encumbrances made during the reporting period; and**
- (d) unencumbered account balances.**

Guideline: The accounting system should be compatible with, or may be a part of, the central accounting system of the governing jurisdiction.

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## Standard 254 - Budget Monitoring and Auditing

**A written directive establishes procedures for both the internal monitoring and independent auditing of the fiscal activities of the agency. An independent audit shall be conducted at least annually or at a time stipulated by applicable statute or legislation.**

Guideline: The intent of the standard is to provide continuous monitoring of the agency's fiscal activities. Internal monitoring provides pertinent information for determining whether established internal control procedures are being administered effectively and for evaluating the performance of staff responsible for fiscal management functions.

## Standard 255 - Cash and Check Management

**A written directive establishes procedures for collecting, receipting, safeguarding and disbursing agency cash and checks. Procedures shall address at a minimum:**

- (a) a system that records appropriations to and disbursements by organizational components;**
- (b) preparing financial reports;**
- (c) conducting internal audits; and**
- (d) identifying persons (by name or position) authorized to accept and/or disburse cash and checks.**

Guideline: The procedure should ensure proper controls and accountability in managing agency cash.

## Standard 256 - Purchasing

**A written directive establishes procedures for requisition and purchase of agency equipment and supplies.**

Guideline: This procedure should address specifications for items requiring standardized purchases; bidding procedures; and criteria for selection of vendors and bidders.

## Standard 257 - Emergency Purchases

**A written directive establishes procedures for emergency purchase and rental of equipment.**

## Standard 258 - Emergency Appropriations

**A written directive establishes procedures for requesting supplemental or emergency appropriations and fund transfers.**

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Guideline: This standard requires the agency to establish formal control over all agency-owned property and supplies, and procurement of supplies and property, as well as requiring a procedure to surplus property.

### Standard 259 - Special Funds

**A written directive establishes the use and accountability of "special funds". At a minimum, the directive addresses:**

- (a) expenditure of funds;**
- (b) the person, by name and title, to be held accountable for expenditure of funds;**
- (c) procedures for conducting an audit of the funds by department personnel at least quarterly; and, at least annually, an audit by personnel not within the chain of command of the entity being audited; and**
- (d) audit review procedures.**

Guideline: Criminal investigations regularly rely on the availability of funds for special purposes. These special purposes may include informant payment, purchase of narcotics, purchase of evidence, "sting" operations, witness relocation or other investigative needs. Making "buys" of evidence and obtaining other resources are essential to certain kinds of investigations.

### Agency-owned Property

#### Standard 260 - Responsibility for Agency-owned Property

**A written directive designates the person(s) responsible for management, accountability, procurement, surplusing, issuance and distribution of agency-owned property.**

#### Standard 261 - Agency Property

**A written directive establishes procedures that regulate inventory control of property, equipment and other assets owned and used by the agency to include, at a minimum, expendable items, installed property, uninstalled property, equipment, vehicles, munitions and personal-wear items owned or assigned to the agency.**

#### Standard 262 - Agency Property Readiness

**A written directive requires that stored items of agency property will be maintained in a state of operational readiness.**

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## Research and Planning

### Standard 270 - Research and Planning

**A written directive establishes and defines the planning and research function in the agency. The planning and research component shall be responsible for administrative and operational planning.**

Guideline: Responsibility for planning and research should be clearly delineated. This responsibility should identify the types of planning necessary to ensure effective agency operations. The written directive should outline purposes, scope, responsibilities and expectations of the planning and research component.

## Legal Process

### Standard 280 - Legal Process

**A written directive thoroughly describes the legal documents that can be served on agency personnel in their official capacity for actions allegedly involving or occurring within the course and scope of their employment. The directive further describes the procedures for accepting service and responding to each of these documents.**

## Information Release

### Standard 290 - Public Information and Media Policy

**A written directive establishes the agency's media relations policy.**

Guideline: Media policy should be developed in cooperation with media representatives.

NOTE: The California Peace Officers Association has issued a publication, "Law Enforcement Media Relations Sample Policy Manual," which may be used as a guide in establishing policies and procedures to address the agency's media relations policy.

### Standard 291 - Release of Information

**A written directive describes information that may be released, when and how it should be released, and by whom the information may be released.**

Guideline: Release and dissemination of information must comply with applicable, federal, state and local laws and ordinances.

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